



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

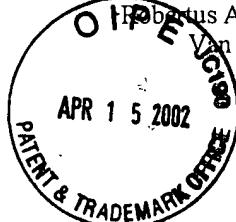
APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
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10/014,238

12/11/2001

Robertus Antonius Johannes  
Van Kollenburg

NL000727



Philips Electronics North America Corp.  
580 White Plains Road  
Tarrytown, NY 10591

CONFIRMATION NO. 3098  
FORMALITIES LETTER



\*OC000000007409602\*

Date Mailed: 02/01/2002

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

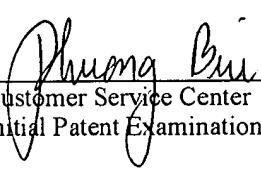
**FILED UNDER 37 CFR 1.53(b)**

***Filing Date Granted***

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

*A copy of this notice **MUST** be returned with the reply.*

  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

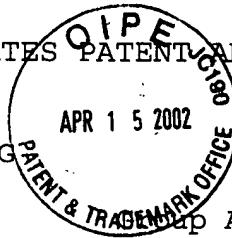
04/17/2002 NMCHAMM1 00000073 141270 10014238

02 FC:105 130.00 CH

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
In re Application of

ROBERTUS A. J. VAN KOLLENBURG

Serial No. 10/014,238



Filed: DECEMBER 11, 2001

Title: RECORD CARRIER OF THE OPTICAL TYPE AND A DEVICE FOR RECORDING  
AND/OR PLAYBACK FOR USE WITH SUCH A RECORD CARRIER

Commissioner for Patents, Washington, D.C. 20231

ATTENTION: APPLICATION DIVISION

RESPONSE TO NOTICE TO FILE MISSING  
PARTS OF APPLICATION

Sir:

In response to the NOTICE TO FILE MISSING PARTS OF  
APPLICATION mailed on February 1, 2002, enclosed is a Declaration,  
properly signed by the Applicants and referring to the above case  
by its Serial Number and filing date, in compliance with 37 CFR  
1.63, and a copy of the Notice. Accordingly, the above-identified  
patent application is now complete.

Please charge Deposit Account No. 14-1270 in the amount  
of \$130.00 for the surcharge for filing the Declaration on a date  
later than the filing date of the application, as set forth in  
37 CFR 1.16(e).

Respectfully submitted,

By \_\_\_\_\_  
Michael E. Belk, Reg. 33,357  
Attorney  
(914) 333-9643

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited this date  
with the United States Postal Service as first-class mail in an envelope addressed to:  
COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

On \_\_\_\_\_

By \_\_\_\_\_

04-19-02 0400 01-5 2651  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#5

In re Application of

Atty. Docket

RECEIVED

ROBERTUS A. J. VAN KOLLENBURG

NL 000727

APR 17 2002

Serial No. 10/014,238

Group Art Unit: 2651

Technology Center 2600

Filed: DECEMBER 11, 2001

APR 15 2002

Title: RECORD CARRIER OF ~~PATENT & TRADEMARK OFFICE~~ OPTICAL TYPE AND A DEVICE FOR RECORDING

AND/OR PLAYBACK FOR USE WITH SUCH A RECORD CARRIER

Commissioner for Patents, Washington, D.C. 20231

LETTER

Sir:

Pursuant to the duty of disclosure set forth in 37 CFR 1.56, Applicants call to the attention of the Patent and Trademark Office a Search Report issued abroad in reference to a corresponding foreign application. A copy of the Search Report dated MARCH 22, 2002 is attached.

The enclosed document is being called to the attention of the Patent and Trademark Office solely to comply with the duty of disclosure set forth in 37 CFR 1.56 and is not intended to be construed as an admission by the Applicants that any of the documents listed is material.

Respectfully submitted,

By Michael E. Belk  
Michael E. Belk, Reg. 33,357  
Attorney  
(914) 333-9643

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited this date with the United States Postal Service as first-class mail in an envelope addressed to:  
COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

On April 3, 2002

By Noem Chapa

**PATENT COOPERATION TREATY**

From the INTERNATIONAL SEARCHING AUTHORITY

**PCT**

To:  
 INTERNATIONAAL OCTROOIBUREAU B.V.  
 Attn. De Vries, Jan  
 Prof. Holstlaan 62  
 NL-5656 AA Eindhoven  
 NETHERLANDS

*MRT 2002*

*URFE*

**NOTIFICATION OF TRANSMITTAL OF  
THE INTERNATIONAL SEARCH REPORT  
OR THE DECLARATION**

(PCT Rule 44.1)

Date of mailing  
(day/month/year)

22/03/2002

Applicant's or agent's file reference

PHNL000727WO

**FOR FURTHER ACTION**

See paragraphs 1 and 4 below

International application No.

PCT/IB 01/02390

International filing date

(day/month/year)

06/12/2001

**RECEIVED**

Applicant

KONINKLIJKE PHILIPS ELECTRONICS N.V.

APR 17 2002  
Technology Center 2600

1.  The applicant is hereby notified that the International Search Report has been established and is transmitted herewith.

**Filing of amendments and statement under Article 19:**

The applicant is entitled, if he so wishes, to amend the claims of the International Application (see Rule 46):

**When?** The time limit for filing such amendments is normally 2 months from the date of transmittal of the International Search Report; however, for more details, see the notes on the accompanying sheet.

**Where?** Directly to the International Bureau of WIPO  
 34, chemin des Colombettes  
 1211 Geneva 20, Switzerland  
 Facsimile No.: (41-22) 740.14.35

**For more detailed instructions**, see the notes on the accompanying sheet.

2.  The applicant is hereby notified that no International Search Report will be established and that the declaration under Article 17(2)(a) to that effect is transmitted herewith.

3.  **With regard to the protest** against payment of (an) additional fee(s) under Rule 40.2, the applicant is notified that:

the protest together with the decision thereon has been transmitted to the International Bureau together with the applicant's request to forward the texts of both the protest and the decision thereon to the designated Offices.

no decision has been made yet on the protest; the applicant will be notified as soon as a decision is made.

4. **Further action(s):** The applicant is reminded of the following:

Shortly after 18 months from the priority date, the international application will be published by the International Bureau. If the applicant wishes to avoid or postpone publication, a notice of withdrawal of the international application, or of the priority claim, must reach the International Bureau as provided in Rules 90bis.1 and 90bis.3, respectively, before the completion of the technical preparations for international publication.

Within 19 months from the priority date, a demand for International preliminary examination must be filed if the applicant wishes to postpone the entry into the national phase until 30 months from the priority date (in some Offices even later).

Within 20 months from the priority date, the applicant must perform the prescribed acts for entry into the national phase before all designated Offices which have not been elected in the demand or in a later election within 19 months from the priority date or could not be elected because they are not bound by Chapter II.

Name and mailing address of the International Searching Authority  
 European Patent Office, P.B. 5818 Patentlaan 2  
 NL-2280 HV Rijswijk  
 Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,  
 Fax: (+31-70) 340-3016

Authorized officer

Clifford Lekahena

## PATENT COOPERATION TREATY

## PCT

## INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference <b>PHNL000727W0</b>	<b>FOR FURTHER ACTION</b> see Notification of Transmittal of International Search Report (Form PCT/ISA/220) as well as, where applicable, item 5 below.	
International application No. <b>PCT/ IB 01/ 02390</b>	International filing date (day/month/year) <b>06/12/2001</b>	(Earliest) Priority Date (day/month/year) <b>11/12/2000</b>
Applicant <b>KONINKLIJKE PHILIPS ELECTRONICS N.V.</b>		

This International Search Report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This International Search Report consists of a total of 4 sheets.

It is also accompanied by a copy of each prior art document cited in this report.

**1. Basis of the report**

a. With regard to the **language**, the international search was carried out on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.

the international search was carried out on the basis of a translation of the international application furnished to this Authority (Rule 23.1(b)).

b. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international search was carried out on the basis of the sequence listing :

contained in the international application in written form.

filed together with the international application in computer readable form.

furnished subsequently to this Authority in written form.

furnished subsequently to this Authority in computer readable form.

the statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.

the statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished

2.  **Certain claims were found unsearchable (See Box I).**

3.  **Unity of invention is lacking (see Box II).**

4. With regard to the **title**,

the text is approved as submitted by the applicant.

the text has been established by this Authority to read as follows:

5. With regard to the **abstract**,

the text is approved as submitted by the applicant.

the text has been established, according to Rule 38.2(b), by this Authority as it appears in Box III. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.

6. The figure of the **drawings** to be published with the abstract is Figure No.

as suggested by the applicant.

because the applicant failed to suggest a figure.

because this figure better characterizes the invention.

9

None of the figures.

# INTERNATIONAL SEARCH REPORT

International application No.

PCT/IB 01/02390

## Box III TEXT OF THE ABSTRACT (Continuation of item 5 of the first sheet)

The abstract is modified as follows:

line 10: after "shift" insert "(n)";  
line 11: after "area" insert "(SLI)".

A. CLASSIFICATION OF SUBJECT MATTER  
IPC 7 G11B7/007 G11B20/12

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)  
IPC 7 G11B

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

EPO-Internal, WPI Data, PAJ

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category <sup>o</sup>	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	EP 0 397 238 A (PHILIPS NV) 14 November 1990 (1990-11-14) cited in the application the whole document -----	1,6

Further documents are listed in the continuation of box C.

Patent family members are listed in annex.

<sup>o</sup> Special categories of cited documents :

- \*A\* document defining the general state of the art which is not considered to be of particular relevance
- \*E\* earlier document but published on or after the international filing date
- \*L\* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- \*O\* document referring to an oral disclosure, use, exhibition or other means
- \*P\* document published prior to the international filing date but later than the priority date claimed

\*T\* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

\*X\* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

\*Y\* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.

\*&\* document member of the same patent family

Date of the actual completion of the international search

15 March 2002

Date of mailing of the international search report

22/03/2002

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2  
NL - 2280 HV Rijswijk  
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,  
Fax: (+31-70) 340-3016

Authorized officer

Annibal, P

Patent document cited in search report	Publication date	Patent family member(s)		Publication date
EP 0397238	A 14-11-1990	AT	130695 T	15-12-1995
		AU	640646 B2	02-09-1993
		AU	5471890 A	08-11-1990
		BR	9002098 A	13-08-1991
		CA	2016055 A1	08-11-1990
		CN	1047159 A , B	21-11-1990
		DE	69023692 D1	04-01-1996
		DE	69023692 T2	27-06-1996
		EP	0397238 A1	14-11-1990
		ES	2080783 T3	16-02-1996
		HK	169696 A	20-09-1996
		HU	54244 A2	28-01-1991
		JP	3003168 A	09-01-1991
		KR	236888 B1	15-01-2000
		US	5418764 A	23-05-1995
		US	5654947 A	05-08-1997